Docket No.: 20516 US (C38435/111694)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Tatsuo HOSHINO, et al.

Serial No.: 09/727,855

Filed: December 1, 2000

For: **PROCESS FOR THE MANUFACTURE OF CAROTENOIDS AND BIOLOGICALLY USEFUL MATERIALS THEREOF**

Examiner: not yet assigned

Art Unit: 1645

New York, New York
April 2, 2001

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Applicants wish to make of record the following documents (clean copies and Form PTO-1449 are enclosed).

FOREIGN PATENT DOCUMENTS

| | |
|---|---|
| B1 | WO 94/06918 |
| B2 | WO 97/23633 |
| B3 | JP 10-248575 |
| B4 | EP 0 769 551 A1 |

OTHER DOCUMENTS

C2 Derwent English Language Abstract of JP 10-248575 (document B3)

C3 Wery, J. et al., "Structural and Phylogenetic Analysis of the Actin Gene from the Yeast *Phaffia rhodozyma*," Yeast, Vol. 12, pp. 641-651 (1996)

C4 Wery, J. et al., "High copy number integration into the ribosomal DNA of the yeast *Phaffia rhodozyma*," Gene, 184, pp. 89-97 (1997)

C5 Shimada, H. et al., "Increased Carotenoid Production by the Food Yeast *Candida utilis* through Metabolic Engineering of the Isoprenoid Pathway,"

Appl. & Env. Microbiol. Vol. 64, No. 7, pp. 2676-2680 (1998)

C6 Croxen, R. et al., "Isolation of an *Ustilago maydis* gene encoding 3-hydroxy-3-methylglutaryl-coenzyme A reductase and expression of a C-terminal-truncated form in *Escherichia coli*," Microbiology, Vol. 140, pp. 2363-2370 (1994)

C7 Martinez, C. et al., "Genetic transformation of astaxanthin mutants of *Phaffia rhodozyma*," Antonie van Leeuwenhoek, Vol. 73, pp. 147-153 (1998)

Applicants request that these documents be considered by the Examiner before issuance of a first office action on the merits and made of record in this file. The Examiner is also asked to initial and return a copy of the enclosed PTO-1449 form to evidence such consideration.

This Information Disclosure Statement is being filed in accordance with the following provisions:

[x] 37 CFR § 1.97(b)(3). To the best of the undersigned's knowledge, before the mailing date of a first Office Action on the merits. No fee is required.

If it is determined that a fee is required as set forth in 37 CFR § 1.17(p) or 1.17(i)(1), or if any additional fees are required, please charge such fee (or credit any overpayment) to Deposit Account No. 02-4467. A duplicate copy of this document is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on April 2, 2001.

Stephen J. Brown, Reg. No. 43,519

Respectfully submitted,

By _____
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| Form PTO-1449 (Rev. ) | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTY DOCKET NO. 20516 US (C38435/111694) | SERIAL NO. 09/727,855 |
|---|---|---|---|
| **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (Use several sheets if necessary) | | APPLICANT Tatsuo HOSHINO, et al. | |
| | | FILING DATE December 1, 2000 | GROUP 1645 |





## U.S. PATENT DOCUMENTS

| Examiner Initial | Cite No. | U.S. Patent Document Number | Date | Name | Class | Subclass | Filing Date If Appropriate |
|---|---|---|---|---|---|---|---|
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## FOREIGN PATENT DOCUMENTS

| | | Document Number | Date | Country | Class | Subclass | Translation | |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | Yes | No |
| | B1 | WO 94/06918 | 3/1994 | PCT | | | | |
| | B2 | WO 97/23633 | 7/1997 | PCT | | | | |
| | B3 | JP 10-248575 | 10/1998 | Japan | | | | |
| | B4 | EP 0 769 551 A1 | 4/1997 | Europe | | | | |
| | | | | | | | | |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
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| | C2 | Derwent English Language Abstract of JP 10-248575 (document B3) |
| | C3 | Wery, J. et al., "Structural and Phylogenetic Analysis of the Actin Gene from the Yeast *Phaffia rhodozyma*," Yeast, Vol. 12, pp. 641-651 (1996) |
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| | C5 | Shimada, H. et al., "Increased Carotenoid Production by the Food Yeast *Candida utilis* through Metabolic Engineering of the Isoprenoid Pathway," Appl. & Env. Microbiol. Vol. 64, No. 7, pp. 2676-2680 (1998) |
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| | C7 | Martinez, C. et al., "Genetic transformation of astaxanthin mutants of *Phaffia rhodozyma*," Antonie van Leeuwenhoek, Vol. 73, pp. 147-153 (1998) |

| EXAMINER | DATE CONSIDERED |
|---|---|

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.